

## **WELCOME TO THE ETHICS COMMISSION MEETING**

*Please sign in at the testimony table.*

*As a courtesy, please silence your cell phone.*



Date: June 21, 2017  
Time: 11:30 a.m.  
Place: Kapālama Hale  
925 Dillingham Boulevard  
1<sup>st</sup> Floor Conference Room

1

## **ORDER OF BUSINESS**

### **I. Call to Order, Public Notice, Quorum**



Honolulu Ethics Commission  
"We Hold the Public's Trust"

2

## II. NEW BUSINESS

### II.A. Chair's Report

#### 1. Announcements, Introductions, and Correspondence



Honolulu Ethics Commission  
"We Hold the Public's Trust"

3

### II.A. CHAIR'S REPORT

#### 2. For Action: Approval of Open Session Minutes of May 17, 2017

#### 3. For Action: Approval of Executive Session Minutes of May 17, 2017

*[exec/session if needed, HRS §92-5(a)(4)]*



Honolulu Ethics Commission  
"We Hold the Public's Trust"

4

## **II.B. EXECUTIVE DIRECTOR AND LEGAL COUNSEL'S (EDLC) REPORT**

### **1. Staff Work Reports Summary**



Honolulu Ethics Commission  
"We Hold the Public's Trust"

5

### **II.B.1. STAFF WORK REPORTS – HIGHLIGHTS LEGAL CLERK III**

- Working with Corp. Counsel/Admin. Serv. Officer (COR/ASO) to process requests for personal services contracts, training; administering city purchasing credit card (pCard)
- Processing intake for cases, requests for advice, litigation docs, all meeting materials, guidance docs
- Coordinating ethics training, conference room use, motorpool car use
- Indexing COR/Ethics opinions (1980 to present)
- Attending online training



Honolulu Ethics Commission  
"We Hold the Public's Trust"

6

## II.B.1. STAFF WORK REPORTS – HIGHLIGHTS LEGAL CLERK I

- Managing ethics training software; working w/ Dept. of Information and Technology (DIT) on City ethics training application
- Updating, redesigning, refreshing website content; coordinating with Po`okela Fellow
- Assisting with investigations, case management
- Completing online training and interview training



Honolulu Ethics Commission  
"We Hold the Public's Trust"

7

## II.B.1. STAFF WORK REPORTS – HIGHLIGHTS

### Po`okela Fellow

- Uploading and re-designing website (currently working on Financial Disclosures)
- Assisting Associate Legal Counsel and Legal Clerk I with strategic planning research

### Law School Interns

- Orientation
- Project – Advisory Opinion Compendium Database



Honolulu Ethics Commission  
"We Hold the Public's Trust"

8

## II.B.1. STAFF WORK REPORTS – HIGHLIGHTS INVESTIGATOR

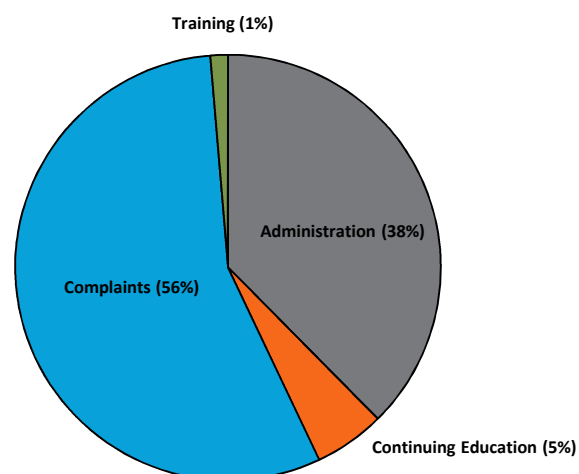
- Completed internal investigator and interview training , attending online training
- Managing case load
- Developing triage/intake, case management process, process flowcharts, procedures
- Researching case management databases



Honolulu Ethics Commission  
"We Hold the Public's Trust"

9

## II.B.1. STAFF WORK REPORTS SUMMARY INVESTIGATOR



10

## II.B.1. STAFF WORK REPORTS – HIGHLIGHTS ASSOCIATE LEGAL COUNSEL (ALC)

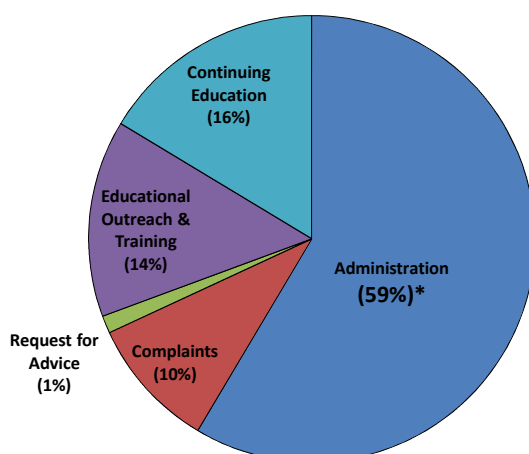
- Conducting in-person ethics training (FY17 total – 613)
- Managing DIT ethics training application development
- Managing cases, requests for advice
- Developing Standard Operating Procedures, forms, templates, and case management database and processes
- Attending and preparing for Strategic Planning sessions
- Preparing projects and guidance/resources for interns
- Handling ongoing admin responsibilities, preparing case status reports; attending online training



Honolulu Ethics Commission  
"We Hold the Public's Trust"

11

## II.B.1. STAFF WORK REPORTS SUMMARY ASSOCIATE LEGAL COUNSEL



\*Administration breakdown available upon request

12

## II.B. EDLC REPORT (cont'd)

### 2. Statistics – None (waiting for 4<sup>th</sup> Qtr)

### 3. Budget

- a. Fiscal Year 2017(FY 2017) Operating Budget - None
- b. FY2017 Operating Budget Request – City Council 3<sup>rd</sup> Reading, Jun. 7, 2017



Honolulu Ethics Commission  
"We Hold the Public's Trust"

13

## II.B.4. EDUCATION AND OUTREACH

### a. Ethics Training Program

- Launched board/commission pilot program:
  - ✓ HART Board pending
  - ✓ Developing protocol for "missed" training
- July 2017
  - ✓ Launch Council, Cabinet pilot program
  - ✓ Honolulu Police Department (HPD) Community Policing Division training request



Honolulu Ethics Commission  
"We Hold the Public's Trust"

14

## II.B.4. EDUCATION AND OUTREACH

### b. Newsletter

- *THE COMPASS: Navigating Ethics for the City & County of Honolulu* (May 2017)
  - ✓ 3 – 4 times per year
  - ✓ Sent to all City departments via email



Honolulu Ethics Commission  
"We Hold the Public's Trust"

15

## II.B.5. CHARTER AMENDMENT QUES. NO. 2

- Bill 057 (2017)
  - *Relating to Ethics Commission Staff*
  - June 7, 2017 – Introduced, 1<sup>st</sup> Reading
  - June 27, 2017 – Exec Management and Legal Affairs Committee (EMLA) Hearing
- Discuss – Draft testimony, designate testifier



Honolulu Ethics Commission  
"We Hold the Public's Trust"

16

## II.B.7.a. LEGISLATION – STATE ETHICS BILLS (enrolled to Governor)

- HB508 HD1 SD1 CD1 – *Relating to Ethics*  
(fine increases, settlement agreement)
- HB511 HD1 SD1 CD1 – *Relating to Lobbyists*  
(lobbying, enforcement)
- HB852 HD2 SD1 CD1 – *Relating to Ethics*  
(financial disclosure, administrative fines)



Honolulu Ethics Commission  
"We Hold the Public's Trust"

17

## II.B.7.b. and c. LEGISLATION – SUNSHINE LAW, INFORMATION PRACTICES BILLS (enrolled to Governor)

- HB165 HD1 SD2 CD1– *Relating to Public Meetings* (meeting docs available to public; notice requirements)
- SB572 SD1 HD1 CD1– *Relating to Information Practices* (OIP may adopt admin rules for protection of records, other)



Honolulu Ethics Commission  
"We Hold the Public's Trust"

18

## II.B.7.d. LEGISLATION – CITY COUNCIL

- Bill 050 (2017) – *Relating to City Boards and Commissions* (conduct periodic review of boards/commissions)
  - June 27, 2017 – EMLA Committee Hearing
- Discuss – Draft testimony, designate testifier



Honolulu Ethics Commission  
“We Hold the Public’s Trust”

19

## II.B.8. EDUCATION OPPORTUNITIES

- a. Society of Corporate Compliance & Ethics,  
16<sup>th</sup> Annual Compliance & Ethics Institute,  
Oct. 15-18, 2017 (Las Vegas)
- b. Council on Government Ethics Laws  
(COGEL), Annual Conference, Dec. 3-6, 2017  
(Toronto)

[End – EDLC Report]



Honolulu Ethics Commission  
“We Hold the Public’s Trust”

20

## II.C. RULE-MAKING AND ADMINISTRATIVE DIRECTIVES MANUAL

Request for Legal Services (RLS) – Corporation Counsel

- Admin Rule-Making – Chapter 91, HRS
- Mayor's Directives, Memoranda, and Department Policies and Circulars
  - ✓ Item V. Administrative Directives Manual Policy Guidance



Honolulu Ethics Commission  
"We Hold the Public's Trust"

21

## II.D. and E. EDLC, ALC SALARIES

- D. For Discussion and Action: EDLC - evaluate work performance, set salary
- E. For Discussion and Action: ALC - set salary (RCH §11-107, as amended by 2016 Gen'l Election Charter Am. Ques. No. 2)

*[Items D. & E., exec/session if needed HRS §92-5(a)(2)]*



Honolulu Ethics Commission  
"We Hold the Public's Trust"

22

### III. EXECUTIVE SESSION

#### A. For Discussion and Action:

Request for Review of Legal Counsel's  
Preliminary Determination Regarding Alleged City  
Officer Misuse of City Resources to Provide Lunch  
for Individuals in Violation of RCH Sec. 11-104  
(EC Rules of Procedure Sec. 5.5(2))

*[Confer w/ attys, HRS § 92-5(a)(4)]*



Honolulu Ethics Commission  
"We Hold the Public's Trust"

23

### III. EXECUTIVE SESSION

#### B. For Discussion: Kealoha v. Totto

#### C. Independent Ethics Investigator Retained Due to Conflict of Interest - None

*[Confer w/ attys, HRS § 92-5(a)(4)]*



Honolulu Ethics Commission  
"We Hold the Public's Trust"

24

## IV. STRATEGIC PLANNING

- Permitted Interaction Group Report – May 25, 2017 meeting
- For discussion – exposure draft
- *Ethics Commission – 2027*



Honolulu Ethics Commission  
"We Hold the Public's Trust"

25

## V. ADJOURNMENT

Honolulu Ethics Commission  
Kapālama Hale  
925 Dillingham Boulevard, Suite 190  
Honolulu, Hawai`i 96817  
Ph: (808) 768-7787

Website: [www.honolulu.gov/ethics](http://www.honolulu.gov/ethics) Email: [ethics@honolulu.gov](mailto:ethics@honolulu.gov)

~MAHALO~



Honolulu Ethics Commission  
"We Hold the Public's Trust"

26

**Agenda Item II.B.4.,**

**Page 2**

***[THE COMPASS: Navigating Ethics  
for C&C of Honolulu]***



Honolulu Ethics Commission News Bulletin May 2017

## **THE COMPASS: Navigating Ethics for the City & County of Honolulu**

"To give real service you must add something which cannot be bought or measured with money, and that is sincerity and integrity." --**Douglas Adams**

The Commission bids a fond farewell to Commissioners Stanford Yuen and Stephen Silva and thanks them for their generous service to the community. We welcome new Commissioners David Monk and Lynette Lo Kanda.

One of our top Frequently Asked Questions is: What types of issues does the Ethics Commission handle? We answer this question below and provide information as to where you can find assistance with other issues that are outside of our jurisdiction.

### **ETHICS REFRESHER:**

**What the Ethics Commission DOES and DOES NOT do.**



What We DO:

Advise, educate, and enforce the City's Standards of Conduct, Revised Charter of Honolulu Article XI.

- Personal conflicts of interest
- Financial conflicts of interest
- Conflict of interest disclosure
- Incompatible outside business activities
- Accepting and soliciting gifts
- Safeguarding confidential information
- Receiving outside compensation for city work
- Appearing on behalf of a private interest before city agencies
- Representing private interests against the city
- One-year cooling off period after leaving city employment
- Restrictions on post-city employment
- Misusing city resources
- Nepotism
- Preferential treatment
- Financial transactions with subordinates
- Exempt employee financial disclosure filings
- Lobbyist registration and annual reports



What We **DON'T** Do:

Address issues beyond our jurisdiction. Contact the appropriate city, state, or federal agency (in parenthesis).

- General complaint hotline ([Dept. Customer Services](#) - (808) 768-4381)
- Civil rights violations ([Hawaii Civil Rights Commission](#) - (808) 586-8636)
- Human resources/union grievances ([Dept. Human Resources](#) (808) 768-8500)
- Workplace safety ([Occupational Safety and Health Division, State Dept. of Labor and Industrial Relations](#) - (808) 586-9110)
- Criminal conduct ([Honolulu Police Dept.](#) - 911)
- State employee ethical conduct ([State Ethics Commission](#) - (808) 587-0460 )
- Sunshine law violations ([State Office of Information Practices](#) - (808) 586-1400)
- Uniform Information Practices Act violations ([State Office of Information Practices](#) - (808) 586-1400)
- City audit requests ([Office of the City Auditor](#) - (808) 768-3134)
- State audit requests ([Office of the State Auditor](#) - (808) 587-0800)
- Financial transaction, internal control monitoring ([Internal Control Division, Dept. Budget and Fiscal Services](#) - (808) 768-3901)
- Campaign spending and finance law violations ([Hawaii Campaign Spending Commission](#) - (808) 586-0285)

- Whistleblower actions (Hawaii State Bar Association Lawyer Referral & Information Service - (808) 537-9140)
- City procurement violations (Purchasing Division, Dept. Budget and Fiscal Services - (808) 768-5535)
- State procurement violations (State Procurement Office - (808) 586-0554)
- Employment discrimination and harassment complaints (City - (808) 768-8505, State - (808) 587-1162, or Federal Equal Employment Opportunity Office - 1-800-669-4000)

Not sure? Call the INTEGRITY HOTLINE: 1-877-365-OAHU  
Available 24/7/365. You do NOT have to give your name.

**Honolulu Ethics Commission**

925 Dillingham Blvd., Ste. 190, Honolulu, HI 96817

Website: [www.honolulu.gov/ethics](http://www.honolulu.gov/ethics)

Email: [ethics@honolulu.gov](mailto:ethics@honolulu.gov)

Phone: (808)768-7787

*"We Hold the Public's Trust."*

**Agenda Item II.B.5.,  
Page 2  
[General Election Charter  
Amendment Question No. 2 -  
Bill 057 (17)]**



## A BILL FOR AN ORDINANCE

RELATING TO ETHICS COMMISSION STAFF.

BE IT ORDAINED by the People of the City and County of Honolulu:

SECTION 1. Purpose. The purpose of this ordinance is to repeal language duplicative of the Revised Charter of the City and County of Honolulu, Section 11-107, as amended by Charter Amendment #2 adopted at the general election held on November 8, 2016, in the City and County of Honolulu.

SECTION 2. Section 3-6.4, Revised Ordinances of Honolulu 1990 ("Commission staff"), is repealed.

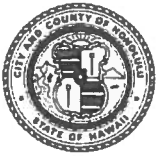
~~["Sec. 3-6.4 Commission staff.~~

~~(a) There shall be an executive director of the ethics commission who shall be an attorney licensed to practice law in the State of Hawaii. The executive director shall be referred to as the legal counsel to the commission. The salary of the legal counsel shall be set by the ethics commission, within the EM-7 range applicable to city and county civil service employees, payable semi-monthly out of the city treasury; provided, that the salary may fall below the EM-7 range if the position of legal counsel is less than a full-time position.~~

~~(b) The commission may appoint such additional staff and engage consultants as is necessary to assist it in the performance of its duties.~~

~~(c) The position of legal counsel and any other staff shall be exempt from the provisions of Chapter 11 of Article VI of the Revised Charter of Honolulu, as amended, but all positions except that of the legal counsel shall be included in the position classification plan."]~~

SECTION 3. Material to be repealed is bracketed and stricken.



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

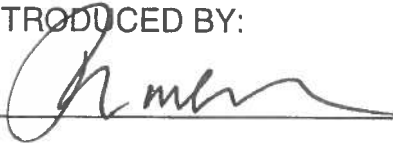
ORDINANCE \_\_\_\_\_

BILL 57 (2017)

**A BILL FOR AN ORDINANCE**

SECTION 4. This ordinance shall take effect upon its approval.

INTRODUCED BY:

 (br)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE OF INTRODUCTION:

MAY 23 2017

\_\_\_\_\_  
Honolulu, Hawaii

\_\_\_\_\_  
Councilmembers

APPROVED AS TO FORM AND LEGALITY:

\_\_\_\_\_  
Deputy Corporation Counsel

APPROVED this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
KIRK CALDWELL, Mayor  
City and County of Honolulu

**ETHICS COMMISSION  
CITY AND COUNTY OF HONOLULU**

925 DILLINGHAM BOULEVARD, SUITE 190 • HONOLULU, HAWAII 96817  
PHONE: (808) 768-7787 • FAX: (808) 768-7768 • EMAIL: [ethics@honolulu.gov](mailto:ethics@honolulu.gov) • INTERNET: [www.honolulu.gov/ethics](http://www.honolulu.gov/ethics)

KIRK CALDWELL  
MAYOR



JAN K. YAMANE  
EXECUTIVE DIRECTOR  
AND LEGAL COUNSEL

[DATE]

The Honorable Ron Menor  
Chair and Presiding Officer  
and Members  
Honolulu City Council  
530 South King Street, Room 202  
Honolulu, Hawai'i 96813

Dear Chair Menor and Councilmembers:

**SUBJECT: Bill 57 (2017), A Bill for an Ordinance Relating to  
Ethics Commission Staff**

I am [Name, position,] Honolulu Ethics Commission. Thank you for the opportunity to testify in strong support of Bill 57 (2017), which was requested by the Ethics Commission. The purpose of this bill is to repeal language duplicative of Revised Charter of the City and County of Honolulu Section 11-107, as amended by Charter Amendment No. 2 adopted at the general election held on November 8, 2016, in the City and County of Honolulu.

As you know, the Charter is periodically reviewed by an appointed commission consisting of 13 members. The 2015-2016 Honolulu Charter Commission submitted 24 proposals to the voters in the form of 20 ballot questions, including Charter Question 2, relating to Ethics Commission staff salaries.

Charter Question 2 was adopted by a majority of votes cast at the general election held on November 8, 2016 in the City and County of Honolulu, and amended Section 11-107 of the Charter. The revised language is attached for your review.

This bill would repeal duplicative language in Section 3-6.4, *Commission staff*, Revised Ordinances of Honolulu, thus aligning the Ordinances with the Charter. We acknowledge the Department of the Corporation Counsel, which assisted us with bill-drafting and review.

The Honorable Ron Menor  
Chair and Presiding Officer  
and Members  
[DATE]  
Page 2

Thank you for the opportunity to testify in strong support of Bill 57 (2017). We are available for your questions, should you have any.

Sincerely,

[Name]  
[Position]

Attachment – Revised Charter of the City and County of Honolulu Section 11-107  
(unofficial draft with 2016 amendments, Department of the Corporation Counsel)

APPROVED:

---

Roy K. Amemiya, Jr.  
Managing Director

Revised Charter of the City and County of Honolulu  
(Updated, Includes 2016 Amendments)

(excerpt from preliminary and unofficial draft posted to the  
Department of the Corporation Counsel's website)

[www.honolulu.gov/cor/rch.html](http://www.honolulu.gov/cor/rch.html)

**Section 11-107. Ethics Commission --**

There shall be within the department of the corporation counsel for administrative purposes only an ethics commission which shall consist of seven members. The commission shall be governed by the provisions of Section 13-103 of this charter. In accordance with the prohibition in Article XIV of the Constitution of the State of Hawaii, the members of the ethics commission shall be prohibited from taking an active part in political management or in political campaigns.

The commission may appoint such staff and engage consultants as is necessary to assist it in the performance of its duties. Such staff and consultants may include attorneys who may advise the commission independently of the department of the corporation counsel. All staff positions shall be exempt from the provisions of Chapter 11 of Article VI of this charter, but such staff positions, except the position of executive director and staff attorneys, shall be included in the position classification plan. The executive director shall be an attorney qualified to practice law in the State of Hawaii. The salaries of the executive director and any staff attorneys of the ethics commission shall be set by the ethics commission. The salary of the executive director shall not exceed the salary of the first deputy corporation counsel and the salaries of any other staff attorney shall not exceed the salary of the executive director.

The commission is authorized to hold hearings and to conduct investigations concerning the application of this article of the charter and shall have the powers provided in Section 13-114 of this charter.

The commission may, on its own initiative, render advisory opinions with respect to this article of the charter. An advisory opinion shall be rendered pursuant to a written request of any elected or appointed officer or employee concerned and may be rendered pursuant to the request of any person. The commission shall publish its advisory opinions with such deletions as may be necessary to prevent disclosure of the identity of the persons involved.

The commission may impose civil fines established by ordinance against elected and appointed officers and employees of the city with significant discretionary or fiscal power as determined by ordinance, found by the commission to have violated the standards of conduct established by this article of the charter or by ordinance. The commission shall recommend appropriate disciplinary action against officers and employees found to have violated the standards of conduct established by this article of the charter or by ordinance. The appointing authority shall promptly notify the commission of the action taken on the recommendation. (Reso. 84-234; 1998 Reorganization; 2006 General Election Charter Amendment Question Nos. 5 and 12(c); Reso. 07-384; 2016 General Election Charter Amendment Question No. 2)

**Agenda Item II.B.7.d.,  
Page 2**

**[City Council – Bill 050 (17) –  
Re: City Boards & Commissions]**



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

ORDINANCE \_\_\_\_\_  
BILL 50 (2017)

---

**A BILL FOR AN ORDINANCE**

---

RELATING TO CITY BOARDS AND COMMISSIONS.

BE IT ORDAINED by the People of the City and County of Honolulu:

SECTION 1. Purpose. The purpose of this ordinance is to establish a process for the periodic review of certain City boards and commissions to determine whether the charter provisions or ordinances establishing the board or commission should be retained, amended, or repealed.

SECTION 2. Chapter 3, Revised Ordinances of Honolulu 1990 ("Additional Boards, Commissions and Committees"), is amended by adding a new article to be appropriately designated by the Revisor of Ordinances and to read as follows:

**"Article \_\_\_\_ . Periodic Review of Boards and Commissions**

**Sec. 3-\_\_\_.1 Application.**

- (a) This article applies to all city boards and commissions established by charter or by ordinance, except those specified in subsection (b).
- (b) This article does not apply to:
  - (1) The board of water supply;
  - (2) The board of directors of the Honolulu Authority for Rapid Transportation;
  - (3) Boards or commissions mandated or established pursuant to federal or state law; and
  - (4) Periodic commissions, including reapportionment commissions and charter commissions.

**Sec. 3-\_\_\_.2 Periodic review required.**

The Council shall review each board or commission in accordance with the schedule established by Section 3-\_\_\_.3 to determine whether the charter provisions or ordinances establishing the board or commission should be retained, amended, or repealed.



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

ORDINANCE \_\_\_\_\_  
BILL 50 (2017)

---

**A BILL FOR AN ORDINANCE**

---

**Sec. 3-\_\_\_.3 Schedule of review.**

The Council shall review each board or commission in accordance with the following schedule:

- (a) 2018, and every five years thereafter:
  - (1) Board of Parks and Recreation;
  - (2) Building Board of Appeals;
  - (3) Child Care Advisory Board; and
  - (4) Citizens Advisory Commission on Civil Defense.
- (b) 2019, and every five years thereafter:
  - (1) Civil Service Commission;
  - (2) Commission on Culture and the Arts;
  - (3) Ethics Board of Appeals; and
  - (4) Ethics Commission.
- (c) 2020, and every five years thereafter:
  - (1) Fire Commission;
  - (2) Grants in Aid Advisory Commission;
  - (3) Neighborhood Commission; and
  - (4) Oahu Historic Preservation Commission.
- (d) 2021, and every five years thereafter:
  - (1) Planning Commission;
  - (2) Police Commission;
  - (3) Real Property Tax Boards of Review I, II, and III; and



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

ORDINANCE \_\_\_\_\_  
BILL 50 (2017)

---

**A BILL FOR AN ORDINANCE**

---

- (4) Salary Commission.
- (e) 2022, and every five years thereafter:
  - (1) Clean Water and Natural Lands Advisory Commission;
  - (2) Rate Commission; and
  - (3) Zoning Board of Appeals.
- (f) Boards or commissions established after the effective date of this article shall be reviewed in accordance with Section 3-\_\_\_.6.

**Sec. 3-\_\_\_.4 Reports by board or commission.**

- (a) No later than January 31 of each calendar year, each board or commission scheduled for review during that year shall submit to the council a report containing the following information:
  - (1) A statement of the purpose for which the board or commission was created;
  - (2) A summary of the accomplishments of the board or commission during the preceding five-year period;
  - (3) Factors that aided or inhibited the achievement of the accomplishments, including, but not limited to, the composition and purpose of the board or commission and staff support;
  - (4) A statement of the measures implemented by the board or commission to enhance transparency in its operations;
  - (5) A statement of the measures implemented by the board or commission to ensure responsiveness to inquiries and comments from the mayor, the council, and the public;
  - (6) The annual costs of operation of the board or commission for each year of the preceding five-year period;
  - (7) A statement of whether the charter or ordinance provisions establishing the board or commission should be retained without change, amended, or repealed; and



---

**A BILL FOR AN ORDINANCE**

---

- (8) If applicable, suggested modifications and revisions to membership number and qualifications; organization; purpose; or powers, duties, and functions to better enable the board or commission to serve its purpose, including justification and suggested amendatory language.
- (b) The agency to which the board or commission is administratively attached, if any, or the council, in the case of the salary commission, shall assist the board or commission in the preparation of the report required by this section.

**Sec. 3-\_\_\_.5 Action by the council.**

- (a) Upon receipt by the council of a report required by Section 3-\_\_\_.4, the presiding officer of the council shall refer the report to an appropriate standing committee of the council, which shall consider the report, evaluate the board or commission, and make recommendations to the council by committee report. If the committee recommends amendments to or repeal of the charter provisions or ordinances establishing the board or commission, the committee shall submit as part of its recommendations a proposed resolution or bill to implement its recommendations. The committee shall submit its recommendations no later than May 31 of that year.
- (b) The council shall consider the report and any recommendations of the standing committee and, no later than August 31 of that year, shall determine whether to retain the board or commission in its current form, propose amendments to the charter or ordinance provisions establishing the board or commission, or propose abolition of the board or commission. The council shall make its determination by adoption of the committee report, and shall hold a public hearing on the matter.
- (c) If the council's determination pursuant to subsection (b) is to propose amendments to or repeal of the board or commission's establishing provisions, the presiding officer of the council shall introduce the appropriate resolution or bill for consideration by the council; provided, that if the council's determination requires a charter amendment that would be presented to the electorate at the same general election in which a charter commission will present proposals to the electorate, the resolution shall submit the proposal to the charter commission rather than initiate the amendment or repeal.



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

ORDINANCE \_\_\_\_\_  
BILL 50 (2017)

---

**A BILL FOR AN ORDINANCE**

---

**Sec. 3-\_\_\_.6 Establishment of additional boards or commissions.**

Unless otherwise provided by its establishing provisions or by amendment to this article, any board or commission established by charter or by ordinance after the effective date of this article shall be subject to this article and shall be reviewed hereunder commencing in the calendar year five years after the calendar year of its establishment, and every five years thereafter."



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

ORDINANCE \_\_\_\_\_  
BILL 50 (2017)

---

**A BILL FOR AN ORDINANCE**

---

SECTION 3. This ordinance takes effect upon its approval.

INTRODUCED BY:

*Summer*  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE OF INTRODUCTION:

**MAY 10 2017**

Honolulu, Hawaii

Councilmembers

APPROVED AS TO FORM AND LEGALITY:

\_\_\_\_\_  
Deputy Corporation Counsel

APPROVED this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
KIRK CALDWELL, Mayor  
City and County of Honolulu

**ETHICS COMMISSION**  
**CITY AND COUNTY OF HONOLULU**

925 DILLINGHAM BOULEVARD, SUITE 190 • HONOLULU, HAWAII 96817  
PHONE: (808) 768-7787 • FAX: (808) 768-7768 • EMAIL: [ethics@honolulu.gov](mailto:ethics@honolulu.gov) • INTERNET: [www.honolulu.gov/ethics](http://www.honolulu.gov/ethics)

KIRK CALDWELL  
MAYOR



JAN K. YAMANE  
EXECUTIVE DIRECTOR  
AND LEGAL COUNSEL

[DATE]

The Honorable Ron Menor  
Chair and Presiding Officer  
and Members  
Honolulu City Council  
530 South King Street, Room 202  
Honolulu, Hawaii 96813

Dear Chair Menor and Councilmembers:

SUBJECT: Bill 50 (2017), A Bill for an Ordinance Relating to  
City Boards and Commissions

I am [Name, position,] Honolulu Ethics Commission. Thank you for the opportunity to offer comments on behalf of the Ethics Commission on Bill 50 (2017). Our testimony is limited to that portion of the Bill involving the Ethics Commission.

The City Ethics Commission was established pursuant to the Hawaii State Constitution and the Honolulu Charter. Article XIV of the Constitution, entitled "Code of Ethics," requires each county to "adopt a code of ethics" to be "administered by a separate ethics commission" composed of members who "shall be selected in a manner which assures their independence and impartiality."

The Honolulu Ethics Commission is established within the Department of the Corporation Counsel "for administrative purposes only" pursuant to Section 11-107 of the Revised Charter of the City and County of Honolulu. Under that section, the Ethics Commission is composed of seven members.

These provisions, together, serve to make the Ethics Commission semi-autonomous in order for it to carry out its purpose to ensure that City public officers and employees fulfill the highest standards of ethical conduct.

The Honorable Ron Menor  
Chair and Presiding Officer  
and Members  
[DATE]  
Page 2

Bill 50 (2017), as written, would create a process for periodic review of City boards and commissions, but exempt certain bodies which are, like the Ethics Commission, semi-autonomous. It is the position of the Ethics Commission that, since it is established as a semi-autonomous commission under the provisions of the Hawai'i State Constitution and Honolulu Charter, it should be also exempted from the Bill.

Thank you for the opportunity to offer comments on Bill 50 (2017). We are available for your questions, should you have any.

Sincerely,

[Name]  
[Position]

APPROVED:

---

Roy K. Amemiya, Jr.  
Managing Director

**Agenda Item II.B.8.a.,  
Page 3**

**[Society of Corporate Compliance  
& Ethics - Oct. 15-18, 2017,  
Caesars Palace - Las Vegas]**

## SATURDAY, OCTOBER 14

11:30 AM – 3:30 PM	<b>Volunteer Project</b> (Pre-registration required)
3:00 – 7:00 PM	<b>Registration Open</b>

## SUNDAY, OCTOBER 15

7:30 AM – 6:00 PM	<b>Registration Open</b>
7:30 – 8:30 AM	<b>SpeedNetworking</b> (Breakfast provided. Requires a separate registration form. Please see website for details and to sign up.)
9:00 AM – 4:30 PM	<b>PW Professional Skills Development Pre-Conference Workshop</b> – See page 4 for more information.
9:00 AM – 12:00 PM <b>BREAKOUT SESSIONS</b>  INCLUDES 15-MINUTE BREAK	<b>P1 Ethics &amp; Compliance Risk Management 101: Program Essentials and Effective Practice</b> – Greg A. Triguba, Principal, Compliance Integrity Solutions; Caro McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company
	<b>P2 Marked as Read: The Story of the Ineffective Code of Conduct</b> – Ed Petry, Vice President, Advisory Services, NAVEX Global; Elizabeth Lewis, Content Director, Global
	<b>P3 TBA</b>
	<b>P4 Foreign Agents, Partners &amp; Intermediaries: You Can't Live with Them, but You Can't Live Without Them</b> – James M. Lord, Shareholder, Inman Flynn; Hal Woodford, VP, Chief Ethics & Compliance Officer, Avnet, Inc.; Andy Hinton, VP, Global Ethics & Compliance, Google; Xavier Oustalniol, Partner, StoneTurn Group
	<b>P5 Global Investigations in an International World: Managing investigations in the face of a proliferation of new anti-bribery laws and cooperation among governments</b> – Ann Sultan, Attorney, Miller & Chevalier; Todd Braunstein, Head of Legal Investigations, Willis Towers Watson
	<b>P6 Navigating IT Compliance: How Can Business and Legal Teams Collaborate to Achieve Joint Objectives?</b> – Theodore L. Banks, Partner-President, Schan Marmor LLC - Compliance & Competition Consultants, LLC; Martin Goulet, Senior Sales Engineer - GRC, ELM Solutions; Gene Stavrou, Associate Director Business, Mondelez International; Nancy Jessen, Senior Vice President, Legal Business Solutions, UnitedLex
	<b>P7 Communicate Ethics with Movie Clips, Viral Videos and News Feeds</b> – Bryan Belknap, Creative Director, Resonate Pictures
	<b>P8 Return on Investment (ROI): Documenting and Supporting the Value-Added for a Compliance Program</b> – David S. Lane, Deputy Compliance Officer, University of President; Sheryl Vacca, Chief Risk Officer, Providence St. Joseph Health
	<b>P9 Investigations Workshop</b> <b>Part I (9:00–10:00 AM): Beginning the Investigation and Interviewing the Reporter</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP <b>Part II (10:00–11:00 AM): Planning the Investigation</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children <b>Part III (11:15 AM–12:00 PM): Revealing and Evaluating Documents</b> – Latour (LT) Lafferty, Partner, Holland & Knight LLP
	<b>12:00 – 1:30 PM</b> <b>Lunch</b> (on your own)
12:00 – 1:30 PM	<b>SpeedMentoring</b> (Lunch provided. Requires a separate registration form. Please see website for details and to sign up.)
1:30 PM – 4:30 PM <b>BREAKOUT SESSIONS</b>  INCLUDES 15-MINUTE BREAK	<b>P10 Social Media: Risks and Redemption</b> – Kortney Q. Nordrum, Project Manager, SCCE/HCCA
	<b>P11 Ethical Train Wrecks and Other Avoidable Disasters: Practical Steps to Heading off Misconduct Before It Happens</b> – Chris Osborn, ReelTime CLE
	<b>P12 Blow It All Up? How to Really Tackle a Ruinous Corporate Culture: Lessons from Wells Fargo and Beyond</b> – Eric O. Morehead, Principal Consultant, Mori Compliance Consulting; Steve C. Morang, Senior Manager - Leader Fraud, Frank, Rimerman + Co. LLP
	<b>P13 Responding to a globalized law enforcement in transnational bribery: A U.S., German and Indian perspective</b> – David W. Simon, Partner, Foley & Lardner; Panag, Partner, Law Offices of Panag & Babu; Dr. Karl Sidhu, Roxin Alliance
	<b>P14 New Mandate, New Mindset: Making a Successful Transition into a Compliance &amp; Ethics Career (What Lawyers, In-House Counsel &amp; Others in Transition Need To Know)</b> – Donna C. Boehme, Principal, Compliance Strategists LLC; Judith L. Nocito, Senior Advisor, Compliance Strategists; Patrick J. Gnazzo, Principal, Business Practices
	<b>P15 IT for Non-IT Compliance Professionals</b> – Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center/Dignity Health
	<b>P16 Compliance 101</b> – Debbie Troklus, Managing Director, Aegis Compliance and Ethics Center; Sheryl Vacca, Chief Risk Officer, Providence St. Joseph Health
	<b>P17 Training Strategy: Less Can Actually Be More</b> – Christian E. Whicker, Director, Corporate Compliance, Duke Energy; Jason B. Meyer, President, LeadGood, LLC; Rose, Director, Create Training
4:30 – 6:00 PM	<b>P18 Investigations Workshop</b> (continued from P9) <b>Part IV (1:30–2:30 PM): Taking Effective Interviews</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children <b>Part V (2:45–3:45 PM): Preparing the Investigation Report</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) <b>Part VI (3:45–4:30 PM): Q&amp;A Panel</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children; Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP
	<b>Opening Reception in Exhibit Hall</b>

RISK

ETHICS

CASE STUDIES

MULTI-NATIONAL/  
INTERNATIONAL

COMPLIANCE  
LAWYER

IT COMPLIANCE

GENERAL COMPLIANCE/  
HOT TOPICS

INVESTIGATIONS  
WORKSHOP

ADVANCED  
DISCUSSION GROUP

Agenda subject to change

## MONDAY, OCTOBER 16

6:30–7:30 AM	<b>Group Fitness</b> (Pre-registration required)
7:00 AM–6:00 PM	<b>Registration Open</b>
7:00–8:15 AM	<b>Continental Breakfast in Exhibit Hall</b>
8:15–8:30 AM	<b>Opening Remarks</b>
8:30–9:30 AM	<b>Keynote Address: The Life of an Ethics and Compliance Professional</b> – Marjorie W. Doyle, Marjorie Doyle & Associates, LLC
9:30–10:30 AM	<b>Keynote Address: Why They Do It: Inside the Mind of the White-Collar Criminal</b> – Eugene Soltes, Jakurski Family Associate Professor of Business Administration, Harvard Business School and Author of Why They Do It: Inside the Mind of the White-Collar Criminal
10:30–11:00 AM	<b>Networking Break in Exhibit Hall</b>
11:00 AM – 12:00 PM <b>BREAKOUT SESSIONS</b>	<b>101 Global Antitrust Compliance - Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program</b> – Tim Bridgeford, Global Head - Antitrust Compliance, JP Morgan
	<b>102 Five Months to a Fantastic Code of Conduct</b> – Michael R. Levin, Senior Director of Compliance: Ethics & Business Practices, Freddie Mac
	<b>103 Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers</b> – Paul E. Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute Business Ethics, Xavier University
	<b>104 Trade Controls: Key Compliance Challenges</b> – Peter Lichtenbaum, Partner, Covington & Burling LLP; John Pisa-Relli, Managing Director, Trade Compliance, Accenture
	<b>105 E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government</b> – Melissa A. Hadel, HRIS Analyst, Allegis Group
	<b>106 How IT Departments Can Be Powerful Allies in Promoting Compliance</b> – Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center
	<b>107 ABC, AML and Export Control-The broadening and convergence of compliance requirements</b> – Thomas R. Fox, Compliance Evangelist; Vanessa Rossi, Compliance Counsel, Baker Hughes
	<b>108 Leveraging innovation and technology to enhance your compliance program and manage third party risk</b> – Pia Vining, Senior Director, Due Diligence, International; Gregory Bates, Counsel, Miller and Chevalier; John M. Evans, Sr. Vice President, Contracts and Commercial and SEO, Cobham Advanced Electronics
	<b>109 If the Wall Street Journal Calls, Will You Be Ready?</b> – Grace E. Keith, Managing Director, Caliber Corporate Advisers; Ben DiPietro, Editor-Reporter, Wall Street Journal; Kitty Holt, Ethics & Compliance Officer, Plan International USA
	<b>AD1* Big Picture E&amp;C Program Challenges: A Day in the Life of the Successful Compliance Officer</b> – Greg A. Triguba, Principal, Compliance Integrity Solutions *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
1:30 PM – 2:30 PM <b>BREAKOUT SESSIONS</b>	<b>AD2* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization?</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	<b>AD3* Internal Investigations in the Yates Memorandum</b> – Michael Volkov, CEO, Volkov Law Group LLC *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	<b>12:00–1:00 PM</b> <b>Networking Lunch</b>
	<b>1:00–1:30 PM</b> <b>Dessert and Networking Break in Exhibit Hall</b>
	<b>201 Privacy from Zero to Sixty - Developing a Global Privacy Program</b> – Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy; Michael Beistle, Counsel and Chief Compliance Officer, Unisys Corporation; Marian Waldmann Agarwal, Of Counsel, Morrison & Foerster LLP
	<b>202 Transformational Narratives: Where Ethics and Corporate Compliance Meet</b> – Douglas Kelly, Lead Legal Editor, EverFi; Carmen Poole, Lead Instructional Designer, EverFi
	<b>203 Case Study: The Story of AppNexus: How C-Level Commitment Creates an Ethical Culture</b> – Janine Yancey, President & CEO, Emtrain
	<b>204 Due process: Build confidence in your compliance investigation process and convey a positive tone at the top</b> – Cedric Bourgeois, Principal Investigator, UNESCO
	<b>205 Background Screening Compliance Essentials</b> – Angela Preston, Senior VP and Counsel, Corporate Ethics and Compliance, Sterling Talent Solutions
	<b>206 The Compliance Officer and the Digital Era</b> – Samantha Simms, Global Data Protection and Privacy Officer, Carlson Wagonlit Travel; Johan E. Thorell, Director of Compliance, Carlson Wagonlit Travel
2:30–3:00 PM	<b>207 From Oversight to Impact: 3 Critical Ways Your Board Can Make a Difference in Compliance</b> – Scott Killingsworth, Senior Counsel, Bryan Cave LLP; Eric Byrne, EVP, Ethisphere Institute
	<b>208 Compliance Is Ruff: A Dog's Approach</b> – Kimberly A. Lansford, Chief Compliance Officer, Penn State Health; Carol Lansford, Executive Director, Valor Service Gabe II, Service Dog, Warrior Canine Connection
	<b>AD4* The ABCs of Conflicts of Interest: Awareness, Bias and Corruption</b> – Cynthia S. Morrison, Legal Project Manager, Armstrong Teasdale, LLP *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	<b>AD5* Dealing With Short-Term Orientation Management</b> – Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition Consulting *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	<b>AD6* Instant Benchmarking for Your Important Issues</b> – Steven Priest, President, Integrity Insight International *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	<b>2:30–3:00 PM</b> <b>Networking Break in Exhibit Hall</b>

Agenda subject to change

## MONDAY, OCTOBER 16

3:00–4:00 PM BREAKOUT SESSIONS	301	The Risks in Assessing Risk – Adam Turteltaub, Vice President, Strategic Initiatives and International Programs, SCCE/HCCA
	302	Corporate Culture: Does Yours Offer More “Shock” than “Awe”? A Practical Overview and Tips for Cultural Assessments and Tune-Ups – Beth Coll, President and Chief Compliance Officer, CDM Smith, Inc.; Peter C. Anderson, Attorney, Beveridge & Diamond, P.C.
	303	Ethics and Compliance Training from A to Z: How to Create Your Very Best Programs in 2017 Using both Proven Methods and the Latest Research – Walters, Associate General Counsel, Peace Corps
	304	The Never Ending Story: Money Laundering – Monica Ramirez, Partner, Asserto RSC
	305	Recent Developments in Compliance and Ethics Law – Rebecca Walker, Partner, Kaplan & Walker LLP; Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP
	306	Data Discovery and Classification – A Digital Swiss Army Knife for Privacy and Security Compliance – Scott M. Giordano, Director, Data Protection and Privacy Services, Robert Half Legal Consulting
	307	Can't Miss Insights from the 2017 Hotline Benchmark Report – Carrie Penman, Chief Compliance Officer and Senior Vice President, Advisory Services, NA Global; Eddy O'Mara, Operations Manager, Advisory Services, NAVEX Global
	308	Linguistic Cues to Deception – Michael W. Johnson, CEO, Clear Law Institute
	309	Turn of a Century: How does a company with over 100 years of history in the gas, electric and steam industry implement a corporate compliance program while the industry undergoes unprecedented changes? – Tayo Kurzman, Section Manager, Consolidated Edison of New York, Inc.; Kevin Jamieson, Director, BEI Compliance Mgmt, Con Edison Company of NY
	AD7*	TBD *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
4:00–4:30 PM	AD8*	Suppliers and Other Third Party Engagement – Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs Monitors, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is available for these sessions.
	AD9*	Playing Well in the Sandbox: Developing and Sustaining Effective Relationships with Your Business Partners – Karen M. Aavik, SVP/Director of Corp Wholesale Practices, KeyBank, N.A. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	Networking Break in Exhibit Hall	
	401	Conflicts of Interest: Exploring Best Practices – Rebecca Walker, Partner, Kaplan & Walker LLP
	402	Fostering an Ethical Culture Through Leadership: Challenges, Risks, and Rewards – Rick L. Crosser, Professor of Accounting, Metropolitan State University, Denver
	403	Fostering a Compliance Culture at Travelers – Stacy Walsh, Senior Counsel, Legal, The Travelers Companies, Inc.; Jennifer Drost, Chief Ethics and Compliance Officer, Travelers Canada; Tim Glasby, Compliance Director (Solicitor) & MLRO, Europe, Travelers
	404	Conducting Effective Third Party Due Diligence in China – Allan Matheson, Managing Director, Blue Umbrella
	405	Preserving the Attorney-Client Privilege and Attorney Work Product Protection in Internal and Government Investigations – Eric J. Gorman, Partner, Arps; Lawrence Oliver, Chief Counsel, Investigations, The Boeing Company
	406	Lessons Learned in Compliance Automation at NSA - Leveraging Technology to Aid the Compliance Profession – Jason Marburg, Compliance Officer, Security Agency; Melissa Lipple, Compliance Officer, National Security Agency
	407	Program & Ethical Tone Assessment Tradecraft of Independent Corporate Monitors – John Hanson, President, International Association of Independent Monitors
4:30–5:30 PM BREAKOUT SESSIONS	408	Is It Time for an Incentive Mine Sweep? – Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC; Marc Hodak, Partner, Farient Advisors, LLC
	AD10*	Tools for Enhancing Employee Participation in Training – Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD11*	From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps - One Size Does Not Fit All - Rosen, VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD12*	Hindsight - What Worked and What Didn't Work in Our Aim to be Effective Ethics and Compliance Officers – Sonal J. Shah, Chief Ethics and Compliance Officer, Stanford University *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	Networking Reception in Exhibit Hall	
	International Compliance & Ethics Awards Dinner (Pre-registration required)	
	5:30–7:00 PM	
	7:00–9:00 PM	

## TUESDAY, OCTOBER 17

6:30–7:30 AM	Group Fitness (Pre-registration required)
7:00 AM–5:30 PM	Registration Open
7:00–8:15 AM	Continental Breakfast in Exhibit Hall
8:15–8:30 AM	Opening Remarks
8:30–9:30 AM	Keynote Address - Easiest Catch: Don't be Another Fish in the 'Net' – Mark Lanterman, Chief Technology Officer, Computer Forensic Services
9:30–10:30 AM	Keynote Address - Multipliers: How the Best Leaders Make Everyone Smarter – Liz Wiseman, Bestselling Author, Speaker & Executive Advisor, Author of Multiplier
10:30–11:00 AM	Networking Break in Exhibit Hall

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUP
------	--------	--------------	------------------------------	-------------------	---------------	-------------------------------	-------------------------	---------------------------

Agenda subject to change

## TUESDAY, OCTOBER 17

11:00 AM – 12:00 PM BREAKOUT SESSIONS	501 From FCPA Prosecutors to Company Protectors: Top 10 Lessons Learned from the Front Lines of FCPA Enforcement – Nathaniel Edmonds, Partner, Pe Hastings LLP; Maria Gonzalez Calvet, Executive Counsel, GE Energy Mgmt. & GE Latin America
	502 How to Reduce Rationalization Risk in the Fraud Triangle through Effective Ethical Decision Making Training – Fermeen Fazal, Chief Counsel and Dir Ethics and Compliance, Universal Pegasus International
	503 Creating a Mobile First Code of Conduct – Krishna Juvvadi, Director, Uber Technologies, Inc.; Michael Lane, Managing Director, Designory
	504 Culture & Compliance: Strategies for Africa – Letitia Adu-Ampoma, Director, Peverett Maxwell
	505 How to Determine if an Incident is a Data Breach to Meet Compliance Obligations – Alex Wall, Sr Counsel & Global Privacy Officer, RADAR
	506 Everyone should have an IT compliance officer or suffer the consequences: Why the IT compliance function matters and how it can boost compan compliance efforts – Ralph Villanueva, Senior IT Compliance Analyst, Las Vegas Sands Corporation
	507 Building a Compliance Champion Network – Karl Schneider, Assoc Mgr Sales Compliance, AGDC
	508 10 Easy Hacks to Give Your Ethics & Compliance Program a Boost – Caveni Wong, Founder and Principal, Principle Compliance
	AD13* TBA – Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is lim first 50 attendees. Pre-registration is not available for these sessions.
	AD2b (repeat)* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization? – Albert G. Gagne, Former Director, Ethics & Compliance, Tex Systems Corporation (retired) *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pr registration is not available for these sessions.
12:00 – 1:00 PM	AD8b (repeat)* Suppliers and Other Third Party Engagement – Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Affiliated Monitors, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-regi. not available for these sessions.
	Networking Lunch
	601 Identifying and Controlling Compliance Risk When Providing Services to the U.S. Government – Steve Epstein, Chief Counsel Ethics & Compliance, Boe Company; Danica Irvine, Senior Attorney, Department of Defense Office of General Counsel
	602 Transformational Leadership: Raising the Ethical Bar – Patricia Colombo, Legal, Compliance and RA Director, FUJIFILM do Brasil
	603 Bids Gone Bad: Lessons Learned from Planning a Procurement Fraud Training – Krystle M. Baker, Investigator, City of Philadelphia Office of Inspector Ge Stephanie F. Tipton, Deputy Chief Integrity Officer, City of Philadelphia
	604 Data Privacy and Ethics – Robert J. Bond, Partner & Notary Public, Bristows LLP; Jennifer Lattimore, Sr. Counsel, WestRock; Art Hernandez, Director of Globa Compliance, RPM International Inc.
	605 Antitrust Panel – Joseph E. Murphy, CCEP, CCEP-I, Senior Advisor, Compliance Strategists
	606 Monitoring Compliance in the Age of Artificial Intelligence: Lessons from the Caremark Case – John DeLong, Berkman Klein Center for Internet & Society, Harva
	607 How to prove your program works – Ricardo P. Pellafone, Founder, Broadcat; John Partridge, Partner, Gibson, Dunn & Crutcher LLP
	608 The Relationship Roadmap: How CECOs Can Turn Turf Battles Into High-Performing Working Relationships – Donna C. Boehme, Principal, Compliance S LLC; Judith L. Nocito, Senior Advisor, Compliance Strategists; Stephen M. Naughton, Former Chief Ethics & Compliance Officer, Kimberly-Clark Corporation; Form Chief Ethics and Compliance Officer, PepsiCo
1:00 – 2:00 PM BREAKOUT SESSIONS	AD14* Responding to Global Compliance Risk In our Supply Chains – Travis Miller, General Counsel, Assent Compliance *Advanced Discussion Groups will be first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD10b (repeat)* Tools for Enhancing Employee Participation in Training – Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc. *Advanced Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	2:00 – 2:30 PM
	Networking Break
	701 Don't Buy Trouble in M&A Transactions: Effectively Managing Ethics and Compliance Risk During the Deal – Kasey T. Ingram, General Counsel & Chie Compliance Officer, ISK Americas Incorporated
	702 Objects in the Mirror are Closer Than They Appear: MGM Resorts International, Driving for Impact in the Gaming Capital of the World – Marsha H. E Hames, Managing Director Strategy & Development, LRN; Omar R. Khoury, Vice President of Compliance, MGM Resorts International; Lisa Caserta, Director - Co MGM Resorts International
	703 Building a Community, Building a Career – Julia Pallozzi-Ruhm, Deputy Director of Compliance, National Security Agency; Kira A. Fuller, Compliance Skill Co Director, National Security Agency
	704 Latin America's Davids and Goliaths: Small and large economy lessons learned on fighting corruption and operating in the region – Saskia Zandieh, Miller and Chevalier; Alexina Gulomar Jackson, Director and Senior Counsel, Ethics and Compliance, AES Corporation
	705 Structuring a successful C&E Department within the Legal Department – TBD
	706 From start-up to IPO - How to design and build a compliance program from scratch – Sean Coutain, Deputy Chief Compliance Officer, Snap Inc.; Domini Chief Compliance Officer, Snap Inc.
2:30 – 3:30 PM BREAKOUT SESSIONS	707 Organizational Sentencing Guidelines: Past, Present, and Future – Kathleen Grilli, General Counsel, US Sentencing Commission; Eric O. Morehead, Princip Consultant, Morehead Compliance Consulting
	708 Conducting an Internal Compliance Program Survey – Ahmed Salim, Regional Compliance Officer, Presence Health
	AD15* Stories from the Front Lines and How You Can Learn from These Experiences – Maryann Clifford, Ethics & Compliance Professional; Diane Nobles, Eth Compliance Professional *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-re is not available for these sessions.
	AD11b (repeat)* From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps - One Size Does Ni VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Att limited to the first 50 attendees. Pre-registration is not available for these sessions.

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUP
------	--------	--------------	-------------------------------	-------------------	---------------	--------------------------------	-------------------------	---------------------------

Agenda subject to change

## TUESDAY, OCTOBER 17

3:30–3:45 PM	<b>Networking Break</b>
3:45–4:45 PM BREAKOUT SESSIONS	<b>801 Cyber Security: One of the Most Critical Risk Mitigation Efforts for Your Organization that Can Bridge the Gap between Compliance and Ethics</b> – <i>Cl Shugg, Partner/Chief Operating Officer, Sylint Group, Inc.</i>
	<b>802 Inside the Mind of the Whistleblower: Understanding What Motivates Employees to Report Ethical Concerns</b> – <i>Karen M. Aavik, SVP/Director of Corporate Wholesale Practices, KeyBank, N.A.</i>
	<b>803 Small budget, small progress?</b> – <i>Kitty Holt, Ethics &amp; Compliance Officer, Plan International USA</i>
	<b>804 Eradicating Human Trafficking - Compliance Challenges</b> – <i>Amy E. McDougal, President, CLEAResources, LLC; Ryan C. Berry, CEO, Chaintegrity</i>
	<b>805 US Government Contracting Compliance: Managing Supply Chain Ethics and Compliance Risk for the World's Single Largest Buyer</b> – <i>Glenn A. Swea Counsel, Pillsbury Winthrop Shaw Pittman; Richard Oliver, Partner, Pillsbury Winthrop Shaw Pittman</i>
	<b>806 How to Get More LinkedIn Views than Roy: Practical Tips for Improving Your LinkedIn Profile &amp; Getting Employers to Seek You Out</b> – <i>Brenda K. Man, Privacy &amp; Regulatory Affairs Director, University of Minnesota Physicians</i>
	<b>807 Government Focus on Whistleblower Retaliation</b> – <i>Winston Chan, Partner, Gibson, Dunn &amp; Crutcher LLP; Tim McCormack, Partner, Constantine Cannon LLP</i>
	<b>808 The Next Generation of Compliance Program Effectiveness: Moving From Bolt On to Built In</b> – <i>Jennifer Childs Kugler, Principal Executive Advisor, Compliance Ethics Leadership Council</i>

## WEDNESDAY, OCTOBER 18

7:30 AM–12:00 PM	<b>Registration Open</b>
8:00–9:30 AM BREAKOUT SESSIONS	<b>W1 Managing Trade Compliance Risks: Exports, Imports, Human Trafficking and other Challenges</b> – <i>Gwendolyn Hassan, Managing Counsel, Global Compliance Ethics, CNH Industrial</i>
	<b>W2 Creating and Maintaining an Ethical Culture: How to get your employees to act ethically, even when no one is looking</b> – <i>Jennifer Drost, Chief Ethics and Compliance Officer &amp; Senior Counsel, Travelers Canada; Tim Glasby, Compliance Director (Solicitor) &amp; MLRO, Europe, Travelers</i>
	<b>W3 General Electric's Risk Roll Up: Targeting the Elusive Tone in the Middle</b> – <i>Joseph Suich, Chief Compliance Officer &amp; Counsel, GE Power</i>
	<b>W4 Is it still possible to fly under the radar? The multiple layers of liability for overseas corruption that corporate officers and companies face and how compliance programs can address them</b> – <i>David G. Hawkes, Head of Special Litigations, World Bank Group Integrity Vice Presidency; Paul Haynes, Lead Inve World Bank</i>
	<b>W5 Big Data and Secondary Uses of Data: Practical Tips to Avoid Privacy Pitfalls and Regulatory Risk</b> – <i>Corey Dennis, Associate Counsel &amp; Privacy Officer, Ali, Compliance and Risk Manager, HealthScape Advisors; Laura Merten, CCEP, Chief Privacy Officer, Advocate Health Care</i>
	<b>W6 IT Prevention Requires More Than 1 Day a Year - The Other 364 Days a Year</b> – <i>Rick Shaw, President, Awareness</i>
	<b>W7 Around the World in 80 Minutes</b> – <i>Jonathan Armstrong, Partner, Cordery; Mary Shirley, Compliance Director - Head of South East Asia, Regional Training and Investigations Lead Asia Pacific, Fresenius Medical Care, Asia Pacific; Kristine Robidoux, Gowling WLG (Canada) LLP</i>
	<b>W8 Compliance Program 3.0 - The Data Driven Compliance Program</b> – <i>Neha Gupta, Chief Executive Officer, True Office Learning; Lana D. Radchenko, Director Corporate Compliance, Semptra Energy; Vinca Russell, Mgr, Global Compliance Training and Communications, Ingersoll Rand; Mark Ehrlich, Senior Director, Global Compliance, Hilton Worldwide</i>
9:30–9:45 AM	<b>Networking Break</b>
9:45–11:15 AM BREAKOUT SESSIONS	<b>W9 The Wolf in Sheep's Clothing: Do You Know Where Your Next Risk Is Coming From?</b> – <i>Krista Muszak, Regional Compliance Analyst - Americas, Bristol-Myers Louis J. Perold, Global Compliance Manager, Jabil</i>
	<b>W10 Join Our Investigation: An Experiential Session from Helpline Call to Final Report</b> – <i>Wendy W. Evans, Sr Corporate Ethics Investigator, Lockheed Martin; MacGillivray, Senior Ethics Investigator, Lockheed Martin</i>
	<b>W11 Impact of Compliance within Organizations</b> – <i>Shawn Washington, CEO, The Circle E Ranch</i>
	<b>W12 If You Think You Are Too Far From Money Laundering and Terrorism, This Session Is For You!</b> – <i>Mónica Ramírez Chimal, Managing Director/Partner, Asse</i>
	<b>W13 TBD</b>
	<b>W14 Handling a Cybersecurity Investigation: A Discussion with a Regulator, a Lawyer, and a Security Expert</b> – <i>Jay J. Johnson, Of Counsel, Jones Day; Ch Executive Managing Director, Stroz Friedberg; Shamail Shipchandler, Regional Director, Fort Worth Regional Office, U.S. Securities</i>
	<b>W15 Do-Re-Mi (Starting at the very beginning)</b> – <i>Lisa Beth B. Lentini, Assistant General Counsel, Compliance, Deluxe Corporation; Kortney Q. Nordrum, Project A SCCE/HCCA</i>
	<b>W16 Transforming Compliance &amp; Ethics Learning - Lessons from 4 Financial Services Global Leaders</b> – <i>Gary Collins, Managing Director, Compliance Manag Division, BNP Paribas; Cassandra Knight, Head of Company Compliance, Morgan Stanley; Melinda Miller, VP Manager Regulatory Compliance, HSBC; Femi Sha Americas Head of Legal, Risk and Compliance Learning, UBS</i>
1:00–1:30 PM	<b>Exam Check-In: Certified Compliance &amp; Ethics Professional (CCEP)* and International Certified Compliance &amp; Ethics Professional (CCEP-I)*</b>
1:30–4:30 PM	<b>Certified Compliance &amp; Ethics Professional (CCEP)* Exam (optional)</b>
1:30–5:30 PM	<b>Certified Compliance &amp; Ethics Professional - International (CCEP-I)* Exam (optional)</b>

RISK

ETHICS

CASE STUDIES

MULTI-NATIONAL/  
INTERNATIONAL

COMPLIANCE  
LAWYER

IT COMPLIANCE

GENERAL COMPLIANCE/  
HOT TOPICS

INVESTIGATIONS  
WORKSHOP

ADVANCED  
DISCUSSION GROUP

Agenda subject to cha

**Agenda Item II.B.8.b.,  
Page 3**

**[COGEL-Council on Government  
Ethics Laws - Dec. 3-6, 2017,  
Sheraton Centre Toronto]**

## 39th Annual COGEL Conference Toronto, Ontario

December 3 - 6, 2017  
Sheraton Centre Toronto

You don't want to miss the four-day, 39th Annual COGEL Conference in Toronto! [Register now](#) and join colleagues and experts from throughout the U.S., Canada, and the world in the largest city in Canada (and the fourth largest city in North America)! During this dynamic and engaging conference, you'll have the opportunity to learn what's new in the fields of campaign finance, governmental ethics, elections, lobbying, and freedom of information.

---

### Conference Highlights

In addition to our always-extraordinary plenary speakers, the Toronto COGEL conference offers an amazing line-up of more than 45 educational sessions, 25 breakfast table topics, and over 125 knowledgeable presenters. It's a who's who list of experts in the fields of campaign finance, governmental ethics, elections, lobbying, and freedom of information. Additionally, the conference provides many formal and informal networking opportunities, including the very popular [COGEL Dine-Around program](#).

No matter what your chosen COGEL discipline, there is a wide variety of sessions designed to educate you, challenge you, and encourage you. With so many stimulating and informative breakout sessions, we know you will have a very difficult choice of selecting which ones to attend. Mark your calendars for the 2017 conference, because you will want to join us for four days of inspiring networking opportunities, incredible speakers, and informative workshops and panel discussions. Read a [message from the 2017 Conference Co-Chairs here](#).

[View Conference Schedule \(Coming in May!\)](#)

---

### What Attendees Have Said About Past Conferences

*"Great conference. Best ever!"*

*"The Breakfast Roundtables were great and were the best part of the conference."*

*"The plenary speakers were excellent. Overall, it was an excellent conference."*

*"I really enjoyed the conference as a whole and found it beneficial. Great job!"*

Agenda Item II.B.8.b., Pg. 3 [COGEL-Council on Government Ethics Laws - Dec. 3-6, 2017, Sheraton Centre Toronto]

*"COGEL has done a great job of expanding the application of sessions beyond the U.S. experience."*

*"I use information and connections I gain at COGEL throughout the year to help me do my job better. This conference is the most useful training I have found and the most related to what we do every day."*

---

## Why This is a Must-Attend Event for You and Your Team

- Gain invaluable insights as experts from 85+ jurisdictions debate and discuss the most critical issues in the fields of campaign finance, governmental ethics, elections, lobbying, and freedom of information.
- Hone your professional skills via numerous interactive trainings.
- Learn about the latest legal developments in your field from leading lawyers at the most prominent U.S. and Canadian law firms and law schools.
- Expand your connections during multiple networking opportunities throughout the conference, including extended networking breaks, luncheons, and receptions.
- Networking Dine-Arounds! Continue the conversation at a local restaurant while expanding your COGEL network! We'll even select the restaurants, recruit the coordinators, and make the reservations for you. All you have to do is sign-up and show up!

---

## Welcome to Toronto

Toronto has much to offer COGEL attendees! Toronto is a sophisticated, cosmopolitan city with fun and enlightening things happening around every corner. In this famously diverse city, you'll find a robust and global dining scene, vibrant multicultural neighborhoods (including Little Italy, Greektown, Little India, Koreatown, and four distinct Chinatowns), and bustling cultural and entertainment districts.

Toronto's neighborhoods pulse with life, and each has a personality all its own. A visit to Toronto isn't complete without exploring its energetic neighborhoods - have a coffee or a craft brew, savor an exotic snack, poke around a book store or art gallery and experience what makes Toronto a wonderfully vibrant and eclectic city. From century-old enclaves to the newest and most recently rejuvenated, there is always something fresh to discover on the next block.

Join your COGEL colleagues in December and become quickly acquainted--or re-acquainted--with a place long-recognized as one of the most livable cities in the world!



## Sheraton Centre Toronto

Our host hotel for the 2017 COGEL Conference is the Sheraton Centre Toronto, a perfect location from which to explore the city. This 43-story hotel--Canada's flagship Sheraton--offers views of the CN Tower and Lake Ontario and recently completed an extensive \$120 million renovation. Set in the heart of the city's vibrant downtown district, this stylish hotel is only steps away from all that Toronto has to offer. Plus, the Sheraton Centre's warm and comfortable lobby features a 2.5-acre waterfall garden which provides a definite feeling of space and serenity despite the hotel's central location.

Nearby you'll find the Royal Ontario Museum, the Hockey Hall of Fame, the Art Gallery of Ontario and Toronto Centre for the Arts as well as boutiques, galleries, museums

**Agenda Item IV.,  
Page 4  
[DRAFT Strategic Plan 2025]**

## Ethics Commission – 2027

*This document sets out a longer-term strategy and is based on discussions held in 2017. It is a work in progress, a flexible and directional touchstone for Commissioners and Staff. It will be revisited periodically over the next several years—2020 (year three), 2022 (year five), and 2025 (year seven)—and as key assumptions change or as internal or external conditions require. As needed, we will use it as source material to drive specific changes in direction, laws and rules, procedures and activities.*

*As part of this strategy, we will examine other jurisdictions and determine best practices for ethics commissions and ethics oversight. Similar jurisdictions may have similar ethics laws, oversight and enforcement responsibilities, population size, demographics, geographic size, among other factors.*

*Finally, we commit to properly balancing transparency and openness with necessary and legally warranted confidentiality. Critical to our success, however, is the need for appropriate resources, including adequate budget, number and type of staff, and commissioner capacity proportionate to the overall workload.*

---

### I. Who We Are

Chartered by law, we are the City and County of Honolulu's ethics watchdog agency. Our job is to ensure that all of the C&C's approximately 10,000 elected leaders, appointed officials, and employees understand and follow the ethical standards of conduct governing their work for the public.

In Fiscal Year 2017, we began to review our policies and procedures to determine where we were and then plan for the future. We filled our full complement of five budgeted staff—Executive Director and Legal Counsel, Associate Legal Counsel, Investigator, and two Legal Clerks—and assessed and debriefed our practices and

began making adjustments for efficiency and effectiveness. The work is on-going, but in progress.

Skills training for Commissioners and Staff is also essential for success. While some training has been accomplished—for example, sunshine law and government records training, core computer application refresher training, and investigation training—there is much more to do.

## **II. Why We Are Working on a Forward Facing Strategy**

We are undertaking a focused review and giving intentional forethought to help shape the Commission's future. We have a new Executive Director, a competent and hardworking Staff, and a strong set of Commissioners, all of whom are dedicated to implementing the agency's mission. We anticipate a rising volume of work and cases of increased complexity. With this document, we want to further position ourselves so that our work is conducted with the greatest possible efficiency and integrity.

We recognize that a rising volume of work and cases of increased complexity drive a need for budget and resources proportionate to workload. Meeting this need will be one of our strategic priorities.

## **III. Dashboard**

Here are the metrics and vital signs we plan use to monitor ourselves. Wherever possible, we will apply "aging" reports to evaluate workload and stay alert for backlogs, gaps, and case handling delays. This dashboard is meant to be a management and decision support tool for Commissioners and Staff.

### **Trailing Indicators** *(Looking Back)*

1. Requests for trainings
2. Requests for advice
3. Advisory opinions
4. Preliminary determinations (reevaluate and address via future rule-making or policy adoption)

5. Investigations
6. Complaint procedures
7. Requests for information via the Uniform Information Practices Act (UIPA), Hawaii Revised Statutes Chapter 92F
8. Hearings
9. Ethics Commission meetings that comply with Hawaii open meetings law, also known as the sunshine law, Hawaii Revised Statutes Chapter 92

#### **Leading Indicators (Looking Ahead)**

10. Anticipated population growth/decline in the C&C of Honolulu
11. Anticipated number of C&C employees and elected and appointed officials
12. Anticipated number of new employees and elected and appointed officials
13. Anticipated Ethics Commission budget and positions required to handle anticipated needs

#### **IV. Key Values**

1. **Independence.** We will appraise every circumstance that comes before us against pertinent laws and specific facts. We will play no political favorites, and let the chips fall where they may.
2. **Transparency.** We will strive for the greatest possible openness while honoring the rights of privacy when privacy is required. We endeavor to balance a user-friendly guidance and approach with sound procedures to vet, triage, and bring actions to enforce the City's standards of conduct.
3. **Above Reproach.** We ourselves, as a Commission and as individuals, will continuously strive to merit the behaviors we enforce on others.

#### **IV. The Current Situation**

Here is how we evaluate ourselves at this moment:

<p><b>Major Strengths</b></p>	<p><b>Major Weaknesses</b></p>
<p>We now have a strong Staff in place and a cohesive and dedicated group of Commissioners.</p> <p>Our relationships with other agencies are continuously improving.</p> <p>We have a vastly better method of training the City's approximately 10,000 employees to their ethical duties.</p> <p>Our monthly data collection and reporting systems are steadily improving.</p> <p>Our meetings are more efficient with good opportunities for public testimony.</p>	<p>Our budget is insufficient to our core need and rising demand. Our existing staff is not large enough to fulfill all functions; that is, investigations, prosecutions, advisory opinions, ethics training, etc.</p> <p>We need to update and clarify our rules.</p> <p>We need to update our policies and procedures.</p> <p>Staff and Commissioners lack opportunities for skills and ethics training and upward mobility and opportunities to interact with ethics commissions of other jurisdictions.</p> <p>The ordinances that direct and guide us require updating.</p> <p>We are not well understood by the public at large.</p> <p>We remain entangled in litigation, which casts an unnecessary shadow over our work and drains resources.</p> <p>Administrative support duties are blurry and need to be clarified.</p> <p>How we interpret and best function with sunshine law requirements.</p>
<p><b>Opportunities</b></p>	<p><b>Challenges</b></p>
<p>We will eventually be audited, but we will undertake our own thinking on lessons learned and future efforts; knowledge gained from this effort will be supplemented by what external auditors recommend.</p> <p>We can define, operationalize, and make public</p>	<p>Turnover and rotation. Potential loss of Staff and Commissioners.</p> <p>Flat resources or budget cuts if the economy dips, which is expected.</p> <p>Small number of excessively time-consuming</p>

<p>our best practices.</p> <p>Rotation of Commissioners brings new perspectives and adds strength.</p> <p>We can utilize skilled volunteers who understand the Ethics Commission's work.</p> <p>There are opportunities to impact the ordinance and adoption of rules.</p> <p>We can position ourselves for inevitable future administrations and councils.</p>	<p>cases that pull us away from other required work.</p> <p>Physical location. Not close to other agencies.</p> <p>Scofflaws who ignore C&amp;C ethical requirements, then the Ethics Commission gets blamed.</p>
---	---

## V. Assumptions About the Next 10 Years

- Ethics Commission's staffing needs will increase even as we gain efficiency, but our budget will always be determined by others.
- Our caseload will go up because:
  - C&C of Honolulu's population goes up about 10 percent every 10 years.
  - The more training and outreach we do, the more inquiries and cases are generated.
  - As the social fabric in Hawai'i changes because of demographic shifts and as O'ahu becomes more crowded and factionalized, we will receive more ethics inquiries and concerns. People are increasingly argumentative and litigious.
  - When the economy dips and city services are diminished, we will receive more ethics issues and concerns.
  - As C&C employee ranks turn over, training will need to be continuously refreshed and delivered to a new cohorts of employees.
- More employees will have electronic devices, enabling greater reach for ethics training. Computerized training delivery will become easier, faster, cheaper.

- The “80/20” principle will continue to prevail; that is, 80 percent of our work and effort will always focus on 20 percent of our caseload. Some of that 20 percent will be hot potatoes with high media visibility. As social media expands, there may be increasing numbers of hot potatoes.
- We will always be in some kind of “stretch mode” and likely never have all the resources we need.
- Over the next 5-10 years, federal and state funding will reduce.
- The process of Commissioner appointments will stay the same: Mayor appoints, Council confirms.
- We will need to do more effective education and outreach to the Mayor and Council to ensure they understand what we do and to secure the funds and positions we need to operate effectively.
- The Commission may continue to initiate complaints.

## VI Priority Objectives

**Objective 1: Review, update, and realign key ordinances, rules, and standard operating procedures for the following:**

	<b>Priority Areas to be Reviewed for Changes</b>	<b>Ordinance</b>	<b>Rules</b>	<b>SOPs</b>	<b>Training &amp; Education</b>
1	Financial Disclosures				
2	Lobbyist Registrations				
3	Procedural and Substantive Rules				
4	Separation of Duties				
5	Gifts				
6	Fair & Equal Treatment				
7	Conflict of Interest Disclosures				

In conjunction with the above:

- a. Examine analogous procedures from Office of Disciplinary Counsel and other ethics commissions, possibly Indianapolis, IN; Cincinnati, OH; Jacksonville, FL; and also review their staff-to-workload ratios.
- b. Review and revise, as needed the definition of “complaint” and consider disallowing anonymous complaints to proceed to investigation without named complainant. Prior to that, it would be an “inquiry” or a “contact.”
- c. Analyze and potentially pursue having Corporation Counsel conduct prosecutions as a way of reducing internal conflicts between Commission staff functions.
- d. To ensure uniformity or practice and continuity to the future, develop an updatable set of policies and procedures available to the Commission, Staff, and the public. Collate existing Commission policies and procedures and develop new ones in conjunction with future changes to the ordinances and rules described above.
- e. Consider adopting as a policy that the Commission will not initiate or proceed with its own investigation if official investigations are being conducted by other agencies.

**Objective 2: Further strengthen and expand the education and training of the City and County’s ~10,000 employees.**

- a. Develop and deliver improved outreach materials (brochures, FAQs, newsletters, etc.) that describe the Commission’s work and provide offers of assistance.
- b. Conduct additional outreach to all elected and appointed officials and to all agency employees to make them fully aware of the Commission’s capabilities and to offer regular or specialized trainings.
- c. Continue to refine, track, and regularly evaluate the use of training software as a core-training tool.
- d. Offer an annual training for lobbyists, possibly with the State Ethics Commission so as to avoid duplication of efforts.

- e. Continue to work with the City Department of Information Technology to develop an in-house ethics training application.

**Objective 3: Strengthen the internal capabilities and procedures of the Ethics Commission.**

- a. Acquire and implement a case management data base to enable tracking, dashboard monitoring, and reporting.
- b. Acquire and implement a comprehensive compendium of Ethics Commission Advisory Opinions that is easy to use when conducting legal research.
- c. Develop and implement training and professional development activities for Staff and Commissioners. Potential areas to be covered include sunshine law, information technologies, and data management. Mechanisms can include:
  - i. State Public Library's Gale Courses for computer application training (MS Word, Excel, Power Point, Access, others);
  - ii. Equal Opportunity Office Internal Investigation Training;
  - iii. Reid Investigator Interview Training; and
  - iv. Attendance at Council on Governmental Ethics Laws conferences and/or the Society of Corporate Compliance and Ethics.
- d. Develop and implement a simple written policy on who speaks publically for the Commission.

**Objective 4: Above and beyond our management "dashboard," develop, implement, and use a simple set of overall effectiveness measures that will describe quantitatively the core efficacy of the Commission. The measures should reflect both inputs and outputs and the quantity and quality of both.**

**VII. Short Term Actions and Accelerators – Calendar Year 2017**

Action to be completed or started before the end of Calendar Year 2017.

	ACTION	WHO AND BY WHEN

Draft 3